



DEPARTMENT OF THE NAVY  
NAVAL RESERVE READINESS COMMAND NORTHWEST  
2000 WEST MARINE VIEW DR, BLDG 2102  
EVERETT, WA 98207-2600

NAVRESREDCOMNWINST 5040.1P  
N312  
04 Dec 02

NAVRESREDCOM NORTHWEST INSTRUCTION 5040.1P

Subj: COMMAND ASSESSMENT PROGRAM

Ref: (a) SECNAVINST 5040.3A  
(b) COMNAVSURFRESFORINST 5041  
(c) SECNAVINST 5214.2B  
(d) NAVRESREDCOMNWINST 5041.1  
(e) NAVRESREDCOMNWNNOTE 5041 of 13 Sep 02

Encl: (1) Sample Command Assessment Notification Letter  
(2) Sample Command Assessment Logistics Letter  
(3) Sample Command Assessment Reserve Unit Customer Survey Form and Letter  
(4) Sample Command Assessment Active Duty Gaining Command Customer Survey Letter and Survey Form  
(5) Sample Command Assessment Self Assessment Format  
(6) Sample Command Assessment Functional Area and Counterpart Table

1. Purpose. To establish and issue the objectives, policies, and procedures regarding the conduct of the Naval Reserve Readiness Command Northwest (REDCOM NW) Assessment Program per references (a) through (e).

2. Cancellation. NAVRESREDCOMREG22INST 5040.1N

3. Background. Assessment is an inherent function of a command and will be conducted in accordance with reference (a). The focus of an assessment should not only be on an activity's current mission readiness, but also the activity's future capability to perform. The Naval Reserve Readiness Command Northwest Assessment Program mission will be three-fold with concentration in the areas of assessment, deficiency correction, and training. The assessment program is intended to be a positive and helpful approach to interaction during assessments, with an "educate, don't regulate" theory while still adding value, quality assurance, and performance improvement. The assessment philosophy rewards three principles: integrity, individual and team professionalism, and involvement. This allows for the assessment to be used primarily as a training opportunity rather than a traditional assessment or inspection. Commands that are doing well will receive positive reinforcement. Commands which need assistance will be

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provided the necessary guidance and feedback. Additionally, the assessment is also designed to improve and enhance working relationships through the opportunity to meet face-to-face, increase the awareness of requirements on subordinate NRAs, and an opportunity for the REDCOM NW staff to learn more about subordinate commands.

#### 4. Objectives

a. To evaluate a Reserve Center's effectiveness in performing assigned mission, tasks, and functions.

b. To determine the efficiency and adequacy of resource management by assessed commands in carrying out assigned mission, tasks, and functions.

c. To ensure compliance with items of special interest to the Secretary of the Navy; Chief of Naval Operations; Commander, Naval Reserve Force; and Commander, Naval Reserve Forces Command throughout REDCOM NW as required by reference (a).

d. To recommend appropriate action to correct deficiencies.

e. To ensure regional emphasis on proper scheduling, preparation, accomplishment, and documentation of training and readiness.

f. To answer three basic questions:

(1) What do you do?

(2) How well do you do it?

(3) How do you know?

#### 5. Policy

a. Command assessments are intended to measure command effectiveness in mission performance, review current Reserve programs, policies and procedures, and ensure compliance with administrative requirements established by higher authority. Assessments will be based on Naval Reserve Readiness Command Northwest Command Assessment Guide, reference (d). The guide contains all functional areas that a Naval Reserve Activity is responsible for in the REDCOM NW claimancy. All of these areas are subject to assessment.

b. Command assessments are a two-edged management tool placing equal emphasis on both evaluation and training. A significant focus of the assessment team will be to provide field activities helpful guidance and assistance with those areas found deficient.

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c. Assessments will be conducted on a 18-24 month cycle. Normally assessments will be scheduled no earlier than 12 months following a new Center Commanding Officer's assumption of command, and no later than six months prior to the Center Commanding Officer's PRD. In addition, frequent and routine site visits, use of information technology, and innovative leadership will also be utilized to monitor subordinate activities.

d. Functional areas will be assessed as follows:

(1) Satisfactory. A satisfactory grade will be awarded for each functional area that has received minimal discrepancies and is in compliance with governing directives.

(2) Conditional Satisfactory. A grade of conditional satisfactory will be awarded when functional areas have several minor discrepancies, 1 to 2 major discrepancies, or a combination of both. Correcting these discrepancies will result in a satisfactory grade for this area.

(3) Unsatisfactory. A grade of unsatisfactory will be awarded when functional areas have three or more major discrepancies identified. Functional areas assessed as unsatisfactory will be reassessed within six months of the original assessment.

(4) An overall unsatisfactory for the entire command will be assigned if two major mission areas are found unsatisfactory, for example, Training (OT) and Reserve Personnel (RP) or Logistics (LM) and Health Services (HS).

e. Assist visits should be requested as necessary to evaluate the status of functional areas.

## 6. Action

a. Naval Reserve Readiness Command Northwest (N7) will:

(1) Publish and distribute an assessment notice annually at the beginning of each fiscal year listing by Reserve Center the REDCOM NW Command Assessment schedule in the format of reference (e).

(2) Issue an assessment notification letter, enclosure (1), to each Reserve Center not later than six months prior to the scheduled assessment.

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(3) Issue an administrative/logistics requirements letter, enclosure (2), to include a detailed listing of assessors not later than 30 days prior to a scheduled assessment.

(4) Issue an assessment results letter to the Reserve Center not later than 30 days following the completed assessment.

(5) Maintain records of previous assessments for each command until a subsequent assessment is conducted.

(6) Mail out customer service surveys, enclosures (3) and (4), to all Unit Commanding Officers/Officers-in-Charge and supported Active Duty Gaining Commands no later than 90 days prior to the assessment, with an assigned due date of not later than 30 days prior to the assessment.

b. Naval Reserve Readiness Command Northwest Senior Assessor will:

(1) Debrief the Reserve Center's Commanding Officer and cognizant staff personnel during the course of the assessment. Additionally, assessors will provide copies of all rough discrepancy/recommendation sheets to the Reserve Center staff prior to departure.

(2) In lieu of numerical grade, assign an overall evaluation of the assessed command's performance as "Satisfactory" or "Unsatisfactory."

(3) Report results of Assessment to Commander, Naval Reserve Readiness Command Northwest.

(4) Evaluate each functional area as either satisfactory, conditional satisfactory or unsatisfactory.

(5) Monitor the assessed command's correction of discrepancies until all have been appropriately corrected.

c. Assessed activities will:

(1) Conduct a self-assessment on each functional area using reference (d) in the format of enclosure (5). A detailed report or line-by-line response to reference (d) is neither required nor desired. The self-assessment is the first step in the assessment process. A self-assessment is intended to shift the emphasis from a Readiness Command assessment, to giving subordinate NRAs the responsibility for measuring and continuously improving their key day-to-day operations. Reference (c) provides details on the command assessment process. This approach allows the NRA to identify potential

problem areas, assess and report system deficiencies, identify resource shortfalls, and make suggestions to improve the process of the functional area. The NRA self-assessment will be forwarded to REDCOM NW no less than 60 days prior to the scheduled assessment date. The Senior Assessor will determine from the self-assessment, the required focus of the command assessment and the makeup of the assessment team. Some areas such as logistics, training, and special interest items will always require on-site assessment regardless of NRA input.

(2) Ensure personnel commitments and long range training plans are compatible with the scheduled dates of the assessment to preclude key personnel from being absent during the course of the command assessment. In the format of enclosure (6), list the command's functional areas and their primary counterparts and forward with the command self-assessment.

(3) Provide a brief command presentation to the Senior Assessor and key members of the assessment team not to exceed 30 minutes in length. The brief should address the command organization and key personnel, unique peacetime contributory support provided, readiness posture, training initiatives, and any other initiatives or concerns regarding any functional area.

(4) Provide a status report of Command Assessment Deficiency Correction to REDCOM NW no later than 60 days following the receipt of the Command Assessment Results. Major discrepancies noted in the assessment results must be addressed individually, by deficiency number, with specific remarks as to corrective action taken. For those major items that cannot be corrected immediately, a plan of action and milestones (POA&M) will be developed indicating corrective actions and estimated completion date. Follow-up reports will be submitted quarterly until all discrepancies have been corrected.

7. Reports. The reporting requirements contained in this instruction are exempt from reports control by reference (c).

8. Forms. The following forms contained in enclosures (3) and (4) are available and can be obtained from NAVRESREDCOM NW (NO1A): NAVRESREDCOM NW Form 1570/1 Gaining Command Customer Survey and NAVRESREDCOM NW Form, 1001/1 Reserve Unit Customer Survey.



R. O. PASSMORE

Distribution: (NAVRESREDCOMNWINST 5216.1K)  
List A  
B

SAMPLE COMMAND ASSESSMENT NOTIFICATION LETTER

5040  
Ser N312/

From: Commander, Naval Reserve Readiness Command Northwest  
To: Commanding Officer, Naval Reserve Center, \_\_\_\_\_

Subj: COMMAND ASSESSMENT OF NAVAL RESERVE CENTER, \_\_\_\_\_

Ref: (a) NAVRESREDCOMNWINST 5041.1  
(b) COMNAVRESFORCOM 5041  
(c) NAVRESREDCOMNWINST 5040.1P

Encl: (1) Self assessment Format

1. A command assessment of Naval Reserve Center, \_\_\_\_\_, will be conducted (Date) through (Date) per references (a) through (c). This assessment will evaluate the effectiveness of your command to perform assigned missions, tasks and functions, the adequacy and utilization of resources, and management efficiency. Naval Reserve Readiness Command Northwest (REDCOM NW) will normally not assess items of special interest; however, it is expected that your command be familiar with the programs and have the appropriate tools in place to execute the intent of the requirements.

2. To assist REDCOM NW activities in preparing for Command Assessments, reference (a) was developed using governing directives. The guide is designed to allow the activity to conduct a detailed self-assessment and assist the REDCOM NW Assessment Team in obtaining an accurate assessment. The assessment team will consist of military and civilian personnel from the staff of REDCOM NW. You will be notified of the composition of the assessment team after your self-assessment is received and reviewed.

3. Request you complete a self assessment for each functional area listed in reference (a) using enclosure (1) format, include pertinent comments and return to N71B by (Date). In addition, please provide the following:

a. Any innovative policies or procedures which may have region-wide application.

Enclosure (1)

Subj: COMMAND ASSESSMENT OF NAVAL RESERVE CENTER \_\_\_\_\_

b. A list of all assists, audits, and reviews, noting the respective command performing the inspection or assessment, since the last triennial review.

4. Prepare a brief command presentation to give to the assessment team the first day of the visit. The brief should not exceed 30 minutes and should address the command organization, personnel assigned, and types of units supported and their readiness trend. Also, include noteworthy facility deficiencies, resource shortfalls, and successful innovations/initiatives that could have regional significance.

5. During the assessment, the Senior Assessor will be available for individual consultations with any assigned personnel. Those consultations are intended to complement, rather than supplant, traditional channels of communication.

6. To help maintain consistency in responsibility for duties and functional areas, request you make every effort to avoid reassignment of responsibilities or functional areas just prior to the assessment. During recent assessments, we have found areas to be unsatisfactory because the responsible individual was assigned the area only a few weeks before the assessment.

7. Designate a central point of contact for liaison with the Naval Reserve Readiness Command Northwest Assessment Coordinator, YN1 Jones (N71B), who can be contacted at (425) 304-3855 or DSN 727-3855. Information concerning the assessment party, members and a schedule of events will be provided by separate correspondence.

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SAMPLE COMMAND ASSESSMENT LOGISTICS LETTER

5040  
Ser N312/

From: Commander, Naval Reserve Readiness Command Northwest  
To: Commanding Officer, Naval Reserve Center, \_\_\_\_\_

Subj: COMMAND ASSESSMENT OF NAVAL RESERVE CENTER, \_\_\_\_\_

Ref: (a) Your ltr 5040 Ser N00/\_\_\_\_ of \_\_\_\_\_

Encl: (1) NAVRESREDCOM Northwest Assessment Areas and Members

1. Reference (a) has been reviewed. No on-site assessment will be made on the following functional areas as a result of the review of your self-assessment: CS-1 Postal Procedures and CS-2 PSD/PLR Performance.

2. Enclosure (1) is a list of REDCOM NW Command Assessment team members by functional area.

3. REDCOM NW point of contact is YN1 Jones at (425) 304-3855 or DSN 727-3855.

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Enclosure (2)



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**NAVRESREDCOM NORTHWEST Assessment Areas and Members**

(Reserve Activity)  
COMMAND ASSESSMENT (DATE)

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COMMAND

CO-1            Mission Accomplishment  
CO-2            CMDMC/SC/C

\_\_\_\_\_  
\_\_\_\_\_

COMMAND SERVICES

CS-3            Evaluation/Fitness Report Counseling Record

FINANCIAL MANAGEMENT

FM-1            O&MNR Budget and Operating Target Management  
FM-2            Reserve Personnel Navy (RPN)  
FM-3            Government Travel Charge Card (GTCC)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

HEALTH SERVICES

HS-1            Health and Physical Readiness  
HS-2            Health Services

\_\_\_\_\_  
\_\_\_\_\_

INFORMATION TECHNOLOGY

IT-1            Information Systems Security

\_\_\_\_\_

LOGISTICS AND MANAGEMENT

LM-1            Logistics and Maintenance  
LM-3            Government Commercial Purchase Card  
LM-4            Procurement

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

OPERATIONS AND TRAINING

OT-1            Training General  
OT-2            Operations/Fleet Support General  
OT-3            Ammunition Management/Weapons Programs

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

QUALITY OF LIFE

QL-1            Morale, Welfare and Recreation (MWR)  
                 Management  
QL-2            Substance Abuse/Urinalysis Program

\_\_\_\_\_  
\_\_\_\_\_

RESERVE PERSONNEL

RP-1            Billet Control  
RP-2            Reserve Pay  
RP-5            Classification Management  
RP-6            Selected Reserve and Active Duty Staff  
                 Service Records

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

SECURITY

SC-1            Information and Personnel Security  
SC-2            Physical Security

\_\_\_\_\_  
\_\_\_\_\_

SAMPLE COMMAND ASSESSMENT RESERVE UNIT CUSTOMER SURVEY

(Date)

From: Commander, Naval Reserve Readiness Command Northwest  
To: (Reserve Unit Commanding Officer)

Subj: CUSTOMER SURVEY

Encl: (1) Reserve Unit Customer Survey

1. REDCOM NW will be conducting a Command Assessment Visit of Naval Reserve Center, \_\_\_\_\_ on (Date). As a part of our assessment we will be reviewing the command's ability to provide quality customer service and administrative support to your unit. Enclosure (1) will be used to assist with this review.

2. Request you provide enclosure (1) to five senior unit personnel to include yourself, the unit XO and the unit Command Chief as well as five junior unit personnel. Have the members complete the survey and return it to REDCOM NW in the enclosed envelope no later than (Date).

3. Our goal is to provide the Reserve Center with recommendations to assist them in providing the highest quality of customer service to their units. Your participation is greatly appreciated.

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Enclosure (3)

## RESERVE UNIT CUSTOMER SURVEY

**Purpose:** This customer survey is a tool used to assess your perception of the quality of the services at your Reserve Center. Survey results may be used to provide a basis for recommendations for improvement in specific areas at your Reserve Center. Your candid response is greatly appreciated.

**Explanation:** Please rank the quality of customer service in specific areas at your Reserve Center. \*Additional comments should be made on the reverse side for any area marked as poor or unsatisfactory.

	Unsatisfactory*	Poor*	Average	Good	Excellent
1) General Problem Resolution					
2) Feedback and Communications					
3) Accessibility/hours of operation					
4) Reserve Drill Pay Administration					
5) Training Plan Support (access and prompt delivery of info – NEC/NOBC manuals, CANTRAC, etc.)					
6) Timely notification of Reserve information and changes to policy. E-mail connectivity.					
7) Training Equipment Access (classrooms, library, computers, audio/visual equipment, etc.)					
8) AT/IDTT order processing					
9) Active Duty Pay/Travel claim processing					
10) Procurement/delivery of professional materials (Rate-training manuals)					
11) Advancement exam administration					
12) Regular Drill/Rescheduled Drill administration					
13) RESCEN Welcome Aboard/INDOC					
14) Service Record Maintenance					
15) Awards and Personal Recognition					
16) Contract Berthing Administration					
17) Issuance of Uniforms					
18) Government Provided Subsistence (meals)					
19) Timely notification/access to required health/dental services (Physical exams, HIV, dental exams, etc.)					
20) Mobilization Training (drills, recall exercises, admin/medical procedures, etc.)					
21) Administrative Support (FITREPS, correspondence, etc.)					
22) Satisfactory customer service from Medical Department					
23) Advance notification of upcoming PFA					
24) Overall Customer Service					

## This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

Unit: \_\_\_\_\_ Contact Info: \_\_\_\_\_

Name/Rank: \_\_\_\_\_

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**GAINING COMMAND CUSTOMER SURVEY**

Gaining Command Name: \_\_\_\_\_

Supporting Reserve Unit: \_\_\_\_\_

Supporting Reserve Center: \_\_\_\_\_

Reserve Liaison: \_\_\_\_\_

**Explanation:** Please answer the following questions. Additional comments should be made on the reverse side.

		Yes	Usually	No
1)	Does your Naval Reserve unit's Reserve Center coordinate schedules with you to maximize support?			
2)	Do your Reserve members contribute to the accomplishment of your mission?			
3)	Do the Reservists arrive prepared and trained to do the work expected of them according to their billet assignment?			
4)	Upon reporting to your command, are Reservists integrated into your organization's daily activities?			
5)	If your operational or training requirements change, are you able to modify the members orders without difficulty?			
6)	Are you directly involved in the process of validating your Reservists' Training Requirements?			
7)	Is your Reserve unit responsive to your requirements?			
8)	Is communication open and effective between you and your unit?			
9)	Is the Reserve unit and supporting Reserve Center responsive to your concerns and cooperative in resolving issues?			
10)	Is your current Reserve Unit manning and manpower requirement adequate to meet your mission?			

**Thank you for your participation in this survey.****Printed Name/Title** \_\_\_\_\_**Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Additional Comments:**

SAMPLE OF SELF-ASSESSMENT FORMAT

COMMAND SERVICES  
COMMAND ASSESSMENT  
SELF-ASSESSMENT

**COMMAND:** Naval Reserve Center \_\_\_\_\_

- A. **Functional Area:** CS-1 Postal Procedures
- B. **Name of Cognizant Staff Member(s):**  
YN1 J. Doe
- C. **Length of time each person assigned to program or area:**  
38 Months
- D. **Previous Experience/Training for each person:**  
OJT
- E. **Deficiencies:**  
None
- F. **Resource Shortfalls:**  
Require Mailboxes. Mailboxes were ordered 20 Jun 02, order number N6613502RCA0027.
- G. **Standards of performance; Indicators used to measure effectiveness:**  
REDCOM Assist visit Oct 2001.
- H. **Suggestions to improve processes:**  
None

**NAVAL RESERVE CENTER \_\_\_\_\_ Assessment Areas and  
Responsible Members**

COMMAND

CO-1 Mission Accomplishment \_\_\_\_\_  
CO-2 CMDMC/SC/C \_\_\_\_\_

COMMAND SERVICES

CS-3 Evaluation/Fitness Report Counseling Record \_\_\_\_\_

FINANCIAL MANAGEMENT

FM-1 O&MNR Budget and Operating Target Management \_\_\_\_\_  
FM-2 Reserve Personnel Navy (RPN) \_\_\_\_\_  
FM-3 Government Travel Charge Card (GTCC) \_\_\_\_\_

HEALTH SERVICES

HS-1 Health and Physical Readiness \_\_\_\_\_  
HS-2 Health Services \_\_\_\_\_

INFORMATION TECHNOLOGY

IT-1 Information Systems Security \_\_\_\_\_

LOGISTICS AND MANAGEMENT

LM-1 Logistics and Maintenance \_\_\_\_\_  
LM-3 Government Commercial Purchase Card \_\_\_\_\_  
LM-4 Procurement \_\_\_\_\_

OPERATIONS AND TRAINING

OT-1 Training General \_\_\_\_\_  
OT-2 Operations/Fleet Support General \_\_\_\_\_  
OT-3 Ammunition Management/Weapons Programs \_\_\_\_\_

QUALITY OF LIFE

QL-1 Morale, Welfare and Recreation (MWR) \_\_\_\_\_  
Management  
QL-2 Substance Abuse/Urinalysis Program \_\_\_\_\_

RESERVE PERSONNEL

RP-1 Billet Control \_\_\_\_\_  
RP-2 Reserve Pay \_\_\_\_\_  
RP-5 Classification Management \_\_\_\_\_  
RP-6 Selected Reserve and Active Duty Staff \_\_\_\_\_  
Service Records

SECURITY

SC-1 Information and Personnel Security \_\_\_\_\_  
SC-2 Physical Security \_\_\_\_\_